

UNITED STATES DISTRICT COURT
FOR THE SOUTHERN DISTRICT OF NEW YORK

SONTERRA CAPITAL MASTER FUND LTD.,
FRONTPOINT EUROPEAN FUND, L.P.,
FRONTPOINT FINANCIAL SERVICES FUND,
L.P., FRONTPOINT HEALTHCARE FLAGSHIP
ENHANCED FUND, L.P., FRONTPOINT
HEALTHCARE FLAGSHIP FUND, L.P.,
FRONTPOINT HEALTHCARE HORIZONS FUND,
L.P., FRONTPOINT FINANCIAL HORIZONS
FUND, L.P., FRONTPOINT UTILITY AND
ENERGY FUND L.P., HUNTER GLOBAL
INVESTORS FUND I, L.P., HUNTER GLOBAL
INVESTORS OFFSHORE FUND LTD., HUNTER
GLOBAL INVESTORS SRI FUND LTD., HG
HOLDINGS LTD., HG HOLDINGS II LTD.,
FRANK DIVITTO, RICHARD DENNIS, and the
CALIFORNIA STATE TEACHERS' RETIREMENT
SYSTEM on behalf of themselves and all others
similarly situated,

Plaintiffs,

- against -

CREDIT SUISSE GROUP AG, CREDIT SUISSE AG,
JPMORGAN CHASE & CO., THE ROYAL BANK OF
SCOTLAND PLC, UBS AG, DEUTSCHE BANK AG,
DB GROUP SERVICES UK LIMITED, TP ICAP PLC,
TULLETT PREBON AMERICAS CORP., TULLETT
PREBON (USA) INC., TULLETT PREBON
FINANCIAL SERVICES LLC, TULLETT PREBON
(EUROPE) LIMITED, COSMOREX AG, ICAP
EUROPE LIMITED, ICAP SECURITIES USA LLC,
NEX GROUP PLC, INTERCAPITAL CAPITAL
MARKETS LLC, GOTTEX BROKERS SA, VELCOR
SA AND JOHN DOE NOS. 1-50,

Defendants.

Docket No. 15-cv-00871 (SHS)

**STIPULATION AND ~~PROPOSED~~ ORDER REGARDING WAIVER OF SERVICE
AND SETTING TIME FOR STIPULATING BROKER DEFENDANTS TO ANSWER,
MOVE OR OTHERWISE RESPOND TO THE SECOND AMENDED CLASS ACTION
COMPLAINT**

Plaintiffs Sonterra Capital Master Fund Ltd., FrontPoint European Fund, L.P., FrontPoint
Financial Services Fund, L.P., FrontPoint Healthcare Flagship Enhanced Fund, L.P., FrontPoint

Healthcare Flagship Fund, L.P., FrontPoint Healthcare Horizons Fund, L.P., FrontPoint Financial Horizons Fund, L.P., FrontPoint Utility and Energy Fund, L.P., Hunter Global Investors Fund I, L.P., Hunter Global Investors Offshore Fund, Ltd., Hunter Global Investors SRI Fund Ltd., HG Holdings Ltd., HG Holdings II Ltd., Frank Divitto, Richard Dennis, and the California State Teachers' Retirement System (collectively, "Plaintiffs") and Defendants TP ICAP plc, Tullett Prebon Americas Corp., Tullett Prebon (USA) Inc., Tullett Prebon Financial Services LLC, Tullett Prebon (Europe) Limited, Cosmorex AG, ICAP Europe Limited, ICAP Securities USA LLC, NEX Group plc, and Intercapital Capital Markets LLC (collectively, the "Stipulating Broker Defendants") by and through their respective undersigned counsel, subject to this Court's approval, agree and stipulate as follows:

WHEREAS, on November 6, 2017, Plaintiffs filed under seal their Second Amended Class Action Complaint ("SAC") (ECF No. 177) asserting claims against, among others, the Stipulating Broker Defendants;

WHEREAS, on December 8, 2017 Plaintiffs filed publicly a redacted version of the SAC (ECF No. 185);

WHEREAS, on December 14, 2017 a Summons was issued as to 12 newly added Defendants, including the 10 Stipulating Broker Defendants (ECF No. 189);

WHEREAS, on December 15, 2017, Plaintiffs' counsel asked undersigned counsel for the Stipulating Broker Defendants whether they were authorized to accept service of the redacted SAC on behalf of certain of the Stipulating Broker Defendants, and counsel subsequently engaged in a meet and confer process;

WHEREAS, on January 9, 2018, following execution of Exhibit A to the Stipulation and Protective Order Governing Materials Produced by JPMorgan Chase & Co. (ECF No. 147) by

counsel for the Stipulating Broker Defendants, the Stipulating Broker Defendants waived service of the SAC and their counsel received an unredacted copy of the SAC, and

WHEREAS, Plaintiffs and the Stipulating Broker Defendants have agreed to the below schedule for the time for the Stipulating Broker Defendants to answer, move to dismiss or otherwise respond to the SAC;

NOW, THEREFORE, IT IS HEREBY STIPULATED AND AGREED:

1. The Stipulating Broker Defendants' deadline to answer, move or otherwise respond to the SAC shall be April 6, 2018.

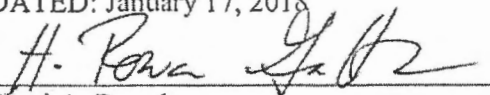
2. If the Stipulating Broker Defendants move to dismiss the SAC, Plaintiffs shall respond on or before June 4, 2018 and the Stipulating Broker Defendants may file their replies on or before July 3, 2018.

3. Discovery is stayed pending resolution of the Stipulating Broker Defendants' motion(s) to dismiss; except that if any Stipulating Broker Defendant moves to dismiss the SAC on the ground that this Court lacks personal jurisdiction as to it pursuant to FED. R. CIV. P. 12(b)(2), Plaintiffs may seek leave of Court to conduct jurisdictional discovery and additional time to file its opposition(s) to the FED. R. CIV. P. 12(b)(2) motion(s) to dismiss in order to conduct such discovery. The Stipulating Broker Defendants reserve the right to oppose any motion by Plaintiffs seeking leave of Court to conduct jurisdictional discovery and/or to obtain additional time to file their opposition(s) to the FED. R. CIV. P. 12(b)(2) motion(s) to dismiss.

4. Except as to the defense of insufficient service of process, no defense of the Stipulating Broker Defendants, including without limitation defenses based upon lack of personal jurisdiction, is prejudiced or waived by the Stipulating Broker Defendants' executing, agreeing to, or filing this Stipulation.

5. This Stipulation may be executed in separate counterparts, and counterparts may be executed by e-mail or facsimile, each of which shall be deemed an original.

DATED: January 17, 2018



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NEX Group plc, ICAP Securities USA LLC,
and Intercapital Capital Markets LLC.*



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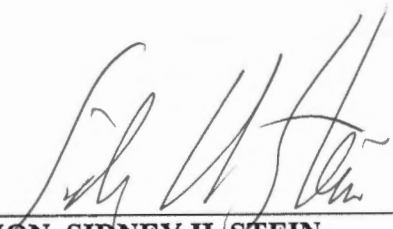
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Additional Counsel for Plaintiffs

SO ORDERED:

Dated: Jan. 18, 2018
New York, New York



HON. SIDNEY H. STEIN
United States District Judge

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